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Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

### STATEMENT UNDER 37 CFR 3.73(b)

Applicant: Alan Ruth et al.

Application No.: 09/842,790 Filed: April 25, 2001

Entitled: LITHIUM ION BATTERY SUITABLE FOR HYBRID ELECTRIC VEHICLES

Quallion LLC

, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

7-30-01

Date

Signature

Hisashi Tsukamoto

Typed or printed name

President

Title

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## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

## PATENTS ONLY

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

Alan Ruth  
Andy Szyszkowski  
Clay Kishimaya  
Hiroyuki Yumoto

Hisashi Tsukamoto

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: 7/9/01; 7/10/01; 7/11/01; 7/16/01

## 2. Name and address of receiving party(ies):

Name: Quallion LLC

Address: P.O. Box 923127

City: Sylmar State/Prov.: CA

Country: US ZIP: 91392-3127

Additional name(s) &amp; address(es)

☐ Yes ☒ No

## 4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

Patent Application No. Filing date

B. Patent No.(s)

09/842,790

April 25, 2001

Additional numbers

☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Arthur Freilich

Registration No. 19,281

Address: P.O. Box 923127

City: Sylmar State/Prov.: CA

Country: US ZIP: 91392-3127

## 6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

- ☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account  
☒ Authorized to be charged to deposit account

## 8. Deposit account number:

50-0921

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Arthur Freilich

Name of Person Signing



Signature

13 July 2001  
Date

Total number of pages including cover sheet, attachments, and

Assignment of Rights, Title and Interest in Invention  
(Multiple inventors; single assignee)

Docket No.  
Q112 201/510 US

AUG 28 2001

This is an Assignment of the following rights, title and interest: (check all that apply):

- ☒ United States of America rights, title and interest in the invention  
☒ Foreign rights, title and interest in the invention  
☒ United States Patent Application Serial No. 09/842,790

Date of Execution:

Date of Filing: 04/25/2001

- ☒ United States Provisional Patent Application Serial No. 60/199,893  
☐ United States Patent No(s).  
☒ International (PCT) Patent Application Serial No. PCT/US01/13398  
☐ Other (specify)

Title of the Invention

LITHIUM ION BATTERY SUITABLE FOR HYBRID ELECTRIC VEHICLES

Inventors (assignors)

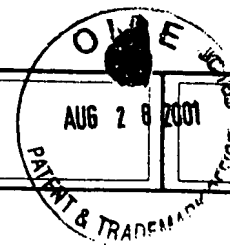
Name	Address
Alan Ruth	820 West 880 North, Orem, UT 84057
Andy Szyszkowski	17029 Canvas Street, Canyon Country, CA 91351
Clay Kishiyama	23520 Magic Mountain Pkwy, #906, Valencia, CA 91355
Hiroiyuki Yumoto	25724 Perlman Place #D, Stevenson Ranch, CA 91381
Hisashi Tsukamoto	28445 Via Joyce Drive, Saugus, CA 91350

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Assignee

Name	Address
Quallion LLC	P.O. Box 923127 Sylmar, CA 91392-3127

**Assignment of Rights, Title and Interest in Invention  
(Multiple inventors; single assignee)**



Docket No.  
Q112 201/510 US

Whereas, we, the above-identified Inventors, have invented certain new and useful improvements in the Invention identified above and described in the above-identified patent application(s) and/or patent(s) (hereinafter referred to as "Invention");

And, whereas we desire to assign our above-identified rights, title and interest in the Invention to the above-identified Assignee;

Now, this indenture witnesseth, that for good and valuable consideration, the receipt whereof is hereby acknowledged;

We hereby assign, sell and transfer our above-identified rights, title and interest in said Invention, said application(s) as identified above, including any divisions, continuations, and continuations-in-part thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted or have granted for said Invention, and in and to any and all reissues and reexaminations thereof, and in and to any and all priority rights, Convention rights, and other benefits accruing or to accrue to us with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, unto said Assignee;

And we hereby authorize and request the Commissioner of Patents and Trademarks to issue any United States Letters Patent which may issue for said Invention to said Assignee, as assignee of the whole right, title and interest thereto;

And we further agree to sign and execute all necessary and lawful future documents, including applications for foreign patents, for filing divisions, continuations and continuations-in-part of said application for patent, and/or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid Invention, as the Assignee or its Designee(s) may from time to time require and prepare at its own expense.

*Inventors' Signatures (if Notarization is desired, do not sign here and proceed to next page)*

Name	Signature/Date
Alan Ruth	
Andy Szyszkowski	<i>Andy Szyszkowski</i> 7/16/01
Clay Kishiyama	<i>Clay Kishiyama</i> 7/16/01
Hiroyuki Yumoto	<i>Hiroyuki Yumoto</i> 7/16/01
Hisashi Tsukamoto	<i>Hisashi Tsukamoto</i> 7/16/01

